NASA SHARED SERVICES CENTER

Small Business Innovation Research and Small Business Technology Transfer Programs Transition Plan

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1.0 INTRODUCTION

1.1 Innovative Partnerships Program

The National Aeronautics and Space Administration's (NASA) Innovative Partnerships Program (IPP) fosters technology partnerships, commercialization and innovation in support of NASA's overall mission and national priorities. The Mission of the IPP is to provide leveraged technology for NASA's Mission Directorates, Programs and Projects through investments and technology partnerships with industry, academia, government agencies and national laboratories. Two of the IPP programs are the NASA Small Business Innovation Research and the NASA Small Business Technology Transfer programs (SBIR/STTR).

1.2 SBIR/STTR Authorization

The NASA SBIR and STTR programs fund the research, development, and demonstration of innovative technologies that fulfill NASA needs as described in the annual Solicitations and have significant potential for successful commercialization. Commercialization encompasses the transition of technology into products and services for NASA mission programs, other Government agencies and non-Government markets. Technological innovation – the overall focus of the NASA SBIR and STTR programs – is vital to the performance of the NASA mission and to the Nation's prosperity and security.

The SBIR and STTR programs were established by public law, as amended, in 1982 (P.L. 106-554) and 1992 (P.L. 107-50). Both programs seek to increase opportunities for Small Business Concerns (SBC) to participate in Government Research and Development (R&D), to improve overall United States competitiveness, and to increase national employment. STTR has the additional intent of developing collaboration between SBCs and non-profit Research Institutes (RI).

Federal agencies with extramural R&D budgets exceeding $100 million are required to administer an SBIR program. Agencies with extramural R&D budgets exceeding $1 billion are also required to administer an STTR program. Each agency administers its own program within directives issued by the Small Business Administration (SBA). The law has established SBIR funding at 2.5% and STTR funding at 0.3% of each participating agency's extramural R&D budget. NASA's annual funding for SBIR and STTR programs is approximately $120 million per year.

The statutory purposes of the SBIR/STTR programs are to stimulate technological innovation in the private sector; to strengthen the role of SBCs in meeting Federal research and development needs; to increase the commercial application of these research results; and to encourage participation of socially and economically disadvantaged persons and women-owned small businesses.

In addition to the statutes governing the SBIR and STTR programs, Executive Order 13329 (issued February 24, 2004) directs Federal agencies administering the SBIR and STTR programs to advance technological innovation in manufacturing through related

R&D. Accordingly, the NASA SBIR and STTR Solicitations include agency needs related to manufacturing in compliance with this Executive Order.

The structure of the SBIR and STTR programs reflects Congressional understanding that the processes of innovation and new product development have a high degree of technical and financial risk. Because of the potential risks, each program has three phases:

Phase 1 – is a competitive process that provides the opportunity to establish the feasibility and technical merit of a proposed innovation.

Phase 2 – is a competitive process under which the most promising of the Phase 1 projects are selected for continued funding. The selection is based upon the project's scientific and technical merit, expected value and commercial potential. During Phase 2, the major Research and Development effort is completed.

Phase 3 - is the selection of the best Phase 2 projects for assimilation into regular federal agency programs and/or marketing to other government agencies or into the commercial marketplace.

1.3 SBIR/STTR Programs

NASA is one of eleven (11) federal agencies with SBIR/STTR programs; each agency is responsible for its' SBIR/STTR program activities. Each agency develops its own processes and procedures for these programs under the oversight of the SBA.

The NASA SBIR/STTR programs provide an opportunity for small, high technology companies to participate in Federal Government sponsored Research and Development efforts in key technology areas. Currently, NASA SBIR/STTR program responsibilities are dispersed throughout the ten NASA Centers with each Center managing its' SBIR/STTR activities. SBIR/STTR Program Management services are the responsibility of the Program Management Office (PMO) and the Program Executive from NASA Headquarters (HQ), respectively.

1.4 NASA Shared Services Center

NASA has created the NASA Shared Services Center (NSSC) to perform a variety of transactional and administrative activities currently accomplished at each NASA Center. The activities assigned to NSSC are in the functional areas of Financial Management, Human Resources and Procurement. NSSC consolidates targeted activities into a shared services organization that reports to NASA HQ. NSSC is designed to maximize service delivery and improve data quality by utilizing standardized processes and leveraging skills and investments through economies of scale. The NSSC effort relieves the NASA Centers of various administrative functions, thereby allowing the Centers to focus more time on core work and strategic initiatives. Each NASA Center was designated a resident NSSC Liaison to facilitate and coordinate services provided by NSSC to that Center.

Two of the procurement functions that have been assigned to the NSSC Procurement Division are processing specific SBIR and STTR actions. As previously stated, the SBIR/STTR program is divided into three separate phases. The SBIR/STTR

responsibilities of the NSSC are the award and administration of Phase 1 and Phase 2 SBIR/STTR Contracts. Phase 3 SBIR/STTR Contracts are not included as part of the NSSC effort, but NSSC, on behalf of NASA, will define procurement policy responsibilities for all phases of the SBIR/STTR Programs.

The NASA Procurement Policy Manager (PPM) role will be filled by the NSSC. The primary role of the PPM is to assure that uniform and consistent procurement policies are applied to the SBIR/STTR programs. The responsibilities of the PPM include, but are not limited to, advising the Program Executive, Program Manager, and Field Center Program Manager on specific SBIR/STTR procurement issues as the need arises, establishing SBIR/STTR procurement policy and guidance for all three phases of the program for NASA, communicating procurement policy changes, maintaining contacts with industry on matters of policy and procurement, constructing model contracts, establishing electronic procurement systems and communicating current information about procurement legislation to the SBIR/STTR program personnel.

1.5 Document Purpose

This document outlines the transition strategy, scope, risks, assumptions, project schedule and communication plan to accomplish the successful transition of SBIR/STTR procurement responsibilities from NASA Centers to the NSSC.

2.0 SCOPE/MISSION

The NSSC Procurement Division will be responsible for preparing, negotiating, awarding, and administering Phase 1 and Phase 2 SBIR/STTR Contracts with successful offerors, as identified by the PMO. Part of the mission of the NSSC's Procurement Division is to support NASA initiatives that foster technology partnerships, commercialization and innovation in support of NASA's overall mission and national priorities. The NSSC Procurement Division will assist NASA by providing required support to NASA's SBIR/STTR programs. It will :

1. Implement the transition of responsibilities and work to effectively support the management and operation of the SBIR/STTR programs;
2. Minimize costs associated with the transition while enabling the achievement of cost efficiencies and performance improvements where feasible and affordable;
3. Process all contractual actions in full compliance with the FAR, NFS, NASA rules, regulations and policies; and
4. Work collaboratively with the PMO, each NASA Center and SBIR/STTR contractors to meet service need via the Customer Contact Center.

Consistent with the mission and objectives of NASA's Integrated Enterprise Management Program (IEMP), the NSSC Procurement Division will focus on improving management systems and processes. IEMP is an agency-wide transformation of NASA's business systems and processes to improve NASA's fiscal and management accountability. To accomplish this mission, IEMP has identified specific business objectives. The IEMP objectives that the NSSC Procurement Division will focus on are:

- Provide timely, consistent, and reliable information for management decisions;
- Improve NASA's accountability and enable full cost management;
- Achieve efficiencies and operate effectively; and
- Exchange information with customers and stakeholders.

The core methodology that NSSC will employ to meet this commitment are discussed in-depth in the *NSSC's SBIR/STTR Service Delivery Guide* (SDG) to be issued prior to the initial transition of SBIR/STTR duties from the Centers to the NSSC. On an ongoing basis, the SBIR/STTR SDG and any modifications thereto, can be discussed and reviewed at the scheduled SBIR/STTR Program Managers Meeting between NSSC SBIR/STTR senior staff and the PMO and Center Offices. A review, if necessary, will ensure the SDG is updated to meet changing conditions and requirements.

2.1 Schedule

The specific schedule for the transition of SBIR/STTR award, administration and financial duties from the Centers to the NSSC is provided below:

The transition of SBIR and STTR award and administration from the individual Centers to the NSSC will be accomplished in two Waves.

In October 2006, NSSC transitioned responsibility for the award and administration of SBIR and STTR Phase 1 and associated follow-on Phase 2 Contracts for the NASA Wave One Centers, specifically, the Ames Research Center (ARC), Dryden Flight Research Center (DFRC), Goddard Space Flight Center/Wallops (GSFC), and Stennis Space Center (SSC).

On October 1, 2007, NSSC will transition responsibility for the award and administration of SBIR and STTR Phase 1 and associated follow-on Phase 2 Contracts for the Wave Two Centers, specifically, Marshall Space Flight Center (MSFC), Glenn Research Center (GRC), Johnson Space Center (JSC), Kennedy Space Center (KSC), Langley Research Center (LaRC) and Jet Propulsion Laboratory (JPL). Note: JPL does not have any STTRs.

Centers will continue to coordinate and resolve contract financial issues with their respective Center Finance interfaces or NSSC Finance interfaces for all SBIR STTR awards made by their Center Procurement Offices.

The NSSC SBIR/STTR Procurement Office will be responsible for assisting Centers and resolving financial issues for any Phase 1 or Phase 2 Contracts awarded by the NSSC. They will coordinate with the FCPM and contract Center Finance Offices or NSSC Finance interface, as appropriate. The NSSC Finance Office will not make invoice payments until FY08 according to their schedule regardless of who makes the award. Center Finance Offices retain payment responsibility until their finance transition is complete.

	Phase 1		***Phase 2***	
	Oct-06	*Oct-07*	*Oct-07*	*Oct-08*
ARC	*X*		*X*	
DFRC	*X*		*X*	
GSFC	*X*		*X*	
SSC	*X*		*X*	
GRC		*X*		*X*
JPL		*X*		*X*
JSC		*X*		*X*
KSC		*X*		*X*
LaRC		*X*		*X*
MSFC		*X*		*X*
HQ				

Centers will retain responsibility for awards, administration and closeout for Non-NSSC awards.

2.2 Organization and Staffing

The contractor staffing levels proposed above were determined in response to the workload data provided by the Centers in the NSSC Final RFP Attachment J-3 TE-3 issued by NASA.

The NSSC SBIR/STTR Service Provider (SP) staffing is composed of two components 1) a core staff and 2) a floating staff made up of the SBIR/STTR, Grants and Cooperative Agreements, and Pre-Award and Post-Award Processing support. The staffing structure responds to the reality that the SBIR/STTR procurement workload significantly varies based on the program schedule (i.e, awards in a short period of time).

In order to achieve maximum efficiency and economy of personnel, NSSC's Service Provider Procurement Division combines matrix and functional attributes in its organization. A Procurement Manager is responsible for all procurement transactions and activities. Two "Functional Leads" report to the manager. One Functional Lead is primarily responsible for SBIR/STTR, Procurement Processing and Administrative Services and a second for Grants and Cooperative Agreements; however, each position functions as a back-up position for the other.

Ten full-time employee (FTE) positions have been identified to support the SBIR/STTR activity: six (6) Procurement Support Specialists and five (4) Procurement Support Assistants.

During periods of peak volume, personnel assigned to Grants and Cooperative Agreements (33) or Processing and Administrative Services (15) may be temporarily reassigned to the SBIR/STTR team. Procurement Services anticipates hiring additional personnel to accommodate Wave II activities. During periods of reduced SBIR/STTR activity, personnel assigned to SBIR/STTR will support Grants & Cooperative Agreement activities.

The Civil Servant staffing has eight full-time employee positions identified to support the SBIR/STTR and Grants and Cooperative Agreements: (1) Branch Chief (2) Procurement Analyst Leads (5) Contract Specialists. This workforce is responsible for successfully completing the Agency's SBIR/STTR and Grants and Cooperative Agreement workload requirements in accordance with the established schedules.

The NSSC is concerned with performance and the best approach to meeting the needs of the SBIR/STTR program. NSSC will continue to focus on results rather than the number of staff performing the work. NSSC believes that it has established a service model that provides the maximum flexibility for NSSC when committing resources to meet the needs of the SBIR/STTR program. The NSSC will make adjustments in personnel and resources, if necessary, as NSSC gains experience in this program. It is important to note that NSSC recognizes that the SBIR/STTR workload will have peaks and valleys and NSSC has a plan to provide continuity in relationships to support the PMO, the NASA Centers and the contractors.

NSSC projects cost for supporting certain activities and services are based upon discussions with current process owners, the Centers. This projected cost is then divided by the total utilization expected for that service across the Agency to determine the unit cost for the service. For SBIR/STTR, this utilization is measured on the number of awards completed within a prescribed period (normally the fiscal year). The unit cost is then multiplied by the projected utilization by Center to determine the fiscal year chargeback to the Center. The projected utilization is determined by the Center during data calls in support of the Agency budget formulation process. The fiscal year chargeback is collected in advance from the Centers throughout the year of execution. During year-end activities, the NSSC determines the actual utilization and cost by Center and makes corresponding adjustments in the following year. Each Center agreed to this approach in the Service Level Agreement.

2.3 Training and Qualified Personnel

NSSC Service Provider (SP) procurement personnel complete web-based and online training when hired. Personnel must complete appropriate Defense Acquisition University (DAU) on-line contracting courses. Web-based training courses in IT Security, NASA's business systems, SAP, protection of intellectual property and acquisition and others are taken through SATERN (**S**ystem for **A**dministration, **T**raining and **E**ducational **R**esources for **N**ASA). Appendix C is a complete list of courses service providers complete within a year of hire.

The NSSC SBIR/STTR training plan includes presenting an overview of NASA's SBIR/STTR program with the purpose of communicating the program's goal (innovation), commitment to integrity in contracting, master program schedule and the shared services center's supportive role(s). Instructor-led training in the use of the SBIR/STTR EHBs was performed in November 2006, and on-going EHB training will be provided as necessary.

2.4 Communications Strategy

The SBIR/STTR communications strategy is provided in the previously submitted *SBIR/STTR Communication Plan*. The Communication Plan provides for various methods and strategies for communication between NSSC and the NASA PMO and NASA Centers. The methods will include face-to-face meetings, a Quick Reference Guide (QRG), the Service Delivery Guide (SDG), this Transition Plan, and an Operational Readiness Review Presentation. Teleconferences and video conferences will also be used in this effort. Currently, NSSC participates in a weekly SBIR/STTR teleconference with the PMO. NSSC also participates in monthly video conference and the SBIR Program Meeting with the PMO and Center Program Managers. The strategies for contact with SBIR/STTR Contractors and SBIR/STTR community, including Research Institutions will be through the Customer Contact Center, NSSC SBIR/STTR e-mail box, as required.

2.5 SBIR/ STTR Project Plan

The SBIR/STTR Project Plan is attached at Appendix E. The Project Plan will be updated on a regular basis to ensure information is current and properly recorded, such as; completion dates, project additions, deletions, and other required information.

2.6 Information Technology

NASA utilizes a paperless electronic process for management of the SBIR/STTR programs. This management approach requires that a proposing firm have Internet access and an e-mail address. Communication between NASA and the firm use a combination of the EHBs and e-mail. The NSSC will utilize the same requirements currently used by NASA to process SBIR/STTR actions, including utilization of the EHBs. The SBIR/STTR Program Management Office (PMO) maintains a web site providing program information and access to the EHBs. The NSSC will develop and maintain a web site complementary to the SBIR/STTR PMO web site and linked to the PMO web site that will be accessible to NASA customers. The NSSC web site will provide more detailed information on SBIR/STTR Contracts from pre-award activities through close-out. Schedule information will be provided and include milestones from receipt of technical packages through award of contracts and status of post-award activities. NSSC will ensure that the NASA PMO and Centers have access to information regarding funding. The process for funding review by NASA officials is provided in the *NSSC SBIR/STTR Service Delivery Guide*. The web site will also provide contract traceability from Phase 1 Contracts and Phase 2 Contracts to support Phase 3 awards at their respective field Centers. To the maximum extent feasible, NSSC will create, process and store documentation in electronic form. Three IT applications and one electronic business tool will be the primary systems used by NSSC to complete the various SBIR/STTR transactions. These include the *Contract Management Module* (CMM)/SAP, *REMEDY*, *Tech Doc* and the EHBs .

The EHBs are the access point for all SBIR/STTR customers. SBIR/STTR Contracts and supporting documentation will be processed using EHBs. The EHBs enable any customer to independently access, review, submit and download SBIR/STTR information.

CMM will be used by NSSC to develop Phase 1 and Phase 2 Contracts and related documentation. CMM is the primary system for creating contracts and contract modifications. Upon completion of document generation in CMM, the NSSC will upload the data into the EHBs.

REMEDY will be used to record customer contacts as well as to track processing of SBIR/STTR awards. The EHB can interact with REMEDY to establish a REMEDY ticket; the REMEDY ticket will start the document tracking history. REMEDY will record each SBIR/STTR step as it is initiated, modified, or completed. This process will provide a metric for both the file and project status. Evaluation of the REMEDY data will help identify problem areas, verify process flow and allow NSSC Procurement staff to measure results and adjust resources and procedures to correct any deficiencies.

Tech Doc is an automatic document control and storage system. When Contract has been executed, the EHB 1098 Checklist will be electronically transmitted for storage to meet long-term records retention requirements. Included in the EHB 1098 Checklist will be the entire contract history including the Contract document.

EXISTING SYSTEMS/ TOOLS			
IT System Title	**IT System Description**	**Access Requirements**	**IT System Interfaces**
CMM (Contract Management System)	Document generation system which generates contract documents, facilitates reporting, tracks lead-times and management information	User role at NSSC	SAP/IEMP
REMEDY	Supports NSSC Internal activities, metrics, etc.	User role for SP and CS	None
TECH DOC	References and resources database	User role at NSSC	None
NASA SBIR/STTR Website (Non-NSSC)	Official NASA SBIR/STTR web-site providing all necessary information and documents for the SBIR/STTR programs.	User role at NSSC	NAIS
SAP/IEMP	Integrated Enterprise Management Program (IEMP) for Procurement Request receipt, contract funding and payment processing	User role at NSSC	CMM FPDS-NG
FPDS-NG (Federal Procurement Data System –Next Generation)	Collects, develops, and disseminates data on all federal expenditures for supplies and services	User role at NSSC	NAIS CMM SAP
EHBs (Electronic Handbooks)	System of electronically-supported business processes to manage SBIR/STTR programs and associated data	User role at NSSC	None

2.7 Processes and Procedures

The EHBs are a key element to the SBIR/STTR effort. The EHBs will be used to coordinate and fuse NSSC's processes, procedures and IT applications into a system that meets the needs of all SBIR/STTR customers.

The responsibilities and actions of the SBIR/STTR PMO and Program Executive are the trigger for SBIR/STTR actions and activities by the NSSC. The PMO develops the solicitation documents and oversees the solicitation process. The PMO is responsible for overseeing proposal evaluations and assists the Program Executive with proposal selection. The Program Executive is the Source Selection Official (SSO) and the SSO signs the selection statement. When the SSO has made the selections and the list of selected offerors, selection statements, and notice of debriefing to unsuccessful offers, have been transmitted then the NSSC will begin the negotiation phase of the effort.

NSSC's processes and procedures for SBIR/STTR activities are described in the *Service Delivery Guide*. The Service Delivery Guide will be augmented by the SBIR/STTR job aids, process flows, IT applications, Transition Plan and model contract. Awards, administrative actions, communication, documentation, including document retention will be accomplished by NSSC in full compliance with federal procurement law, the Space Act Agreement, Federal Acquisition Regulations (FAR) [48 CFR Part 1-99], NASA FAR Supplement (48 CFR Part 18), NASA procurement policy directives and guidelines and other federal applicable policies and regulations. In addition to compliance with laws, rules and regulations the NSSC's SBIR/STTR activities will focus on reliable financial management to track contract spending and reporting, sound contract management and quality assurance through effective quality control.

Regardless of focus all processes, procedures and actions performed by NSSC will be compliant with appropriate NASA rules, regulations, policies and procedures.

2.8 Records Management

CMM will be the fundamental document source for the NSSC SBIR/STTR activities. Other IT applications, such as the EHBs, TechDoc and Remedy will be used for various actions for this project but these applications will be used in support of CMM.

2.9 Records Storage

The NSSC Procurement Division will maintain a hard copy of required documentation. The electronic file for SBIR/STTR transactions will be stored in Tech Doc. The Tech Doc system has adequate space and back-up systems to maintain all documents in compliance with NASA Policy Directive (NPD) 1440.6G *NASA Records Management* and NASA Procedural Requirement (NPR) 1441.1D, as amended, *NASA Records Retention Schedule.*

NSSC has established a Document Management Office (DMO) as the primary recipient of electronic and hard-copy contract documents, correspondence, and communications. NSSC's records management system is based upon direct electronic transfer of

documents to the maximum extent possible. Under normal circumstances, the DMO will electronically load the data received directly into Tech Doc. Documents received in hard-copy or facsimile will be scanned, labeled and transferred to Tech Doc by the DMO. The DMO will provide electronic notification to the appropriate personnel when a document has been received and transferred to Tech Doc. All documents, whether electronic or hard-copy, will be received, handled, protected and retained in compliance with NPD 1440.6G and NPR 1441.1D, as amended.

2.10 Customer Input

Prior to modifying any procurement SBIR/STTR processes or procedures, comments will be sought from the NASA SBIR/STTR Program Executive, Program Management Office, SBIR/STTR Field Center Program Managers, COTRs, Field Center Property Managers, Procurement representatives, NSSC internal customers, and others as appropriate.

2.11 Lessons Learned

The NSSC will maintain strong communications with NASA SBIR/STTR Program Management Executive, SBIR/STTR Program Management and the NASA Centers. NSSC will closely monitor allocation of funds to NASA Centers and to assure that all applicable financial personnel have a NASA wide role in SAP. NSSC will work closely with the Center financial offices regarding the receipt and payment of invoices. NSSC will develop and implement effective processes and procedures to perform the work.

Further, consistent with recommendations from the NASA Office of the Inspector General (OIG), the NSSC is implementing quality assurance measures designed to assist both Contractors and NASA Contracting Officers with contract administration, technical oversight, deliverables, and invoice processing. Quality checks and processes will be discussed further in the NSSC SBIR/STTR Service Delivery Guide.

3.0 ASSUMPTIONS

The SBIR/STTR Transition Plan was based on the following assumptions:

- The PMO continues to be responsible for providing and maintaining the EHBs.
- The PMO continues to be responsible for development and management of the solicitation, evaluation and selection process for the SBIR/STTR program.
- The NSSC has appointed a SBIR/STTR Transition Lead responsible for all aspects of the transition of functions to the NSSC, to include but not be limited to, planning, coordinating, communicating, staffing, training, operational readiness review and scheduling.
- Necessary NSSC procurement staff would be hired and trained in time for the transition of SBIR/STTR responsibilities from the NASA Centers to the NSSC.

- NSSC will provide appropriate Information Technology (IT) and ensure connectivity to all required systems (e.g., Tech Doc).

- Appropriate IT interfaces between vital systems would be operational and fully functional.

- In accordance with the Wave schedules, only new Phase 1 SBIR/STTR Contracts and associated follow-on Contracts will be processed by the NSSC. NASA Centers will retain responsibility for previously awarded SBIR/STTR Contracts.

- Existing SBIR/STTR Contract files will remain at the respective NASA Centers where the Contract was awarded.

- NSSC will award and administer Phase 1 and Phase 2 SBIR/STTR Contracts only. Responsibility for Phase 3 of the SBIR/STTR process will remain with the respective NASA Centers.

- Each Center will retain program/project, budgeting, safety, property, costing and resources responsibilities including writing Purchase Requests associated with all SBIR/STTR Contracts

- Each Center will retain invoice processing and account payables functions until transition to NSSC.

4.0 RECOMMENDED TRANSITION PLAN

The transition plan assumes certain roles and responsibilities will transition to NSSC while others will be retained by the Program Executive, PMO and NASA Centers.

4.1 NASA Roles and Responsibilities

Current NASA roles and responsibilities critical to the success of the SBIR/STTR programs are provided below:

NASA Roles

a. Program Executive. The SBIR/STTR Program Executive, designated by The Office of the NASA Associate Administrator, is responsible for these programs. The Program Executive's role includes strategic oversight responsibility, program assessment, and selection authority for these programs including insuring proper and efficient conduct of the source selection process. The Program Executive is the Source Selection Official for both the SBIR and the STTR Programs.

b. Program Management Office (PMO):

1) Program Manager/Deputy Program Manager. The primary role and responsibility of the Program Manager is to provide Agency-wide management for the programs. The Program Manager is responsible for executing programs consistent with the policy

direction provided by the SBIR/STTR Program Executive and consistent with requirements as defined in NASA Policy Guidelines NPG 7120.5B, NASA Program and Project Management Processes and Requirements.

2) Technology Manager - The primary role of the SBIR/STTR Technology Manager is to oversee the development of the annual SBIR and STTR solicitations and to assure that identified Mission Directorate technology needs are uniquely and adequately reflected in a coherent document.

3) Management Analyst - The primary role of the SBIR/STTR Management Analyst is to provide analysis and documentation of the SBIR/STTR programs.

c. Procurement Manager. The Office of Procurement designates an SBIR/STTR Procurement Policy Manager. The primary role is to assure that uniform and consistent procurement policies are applied to the SBIR/STTR program across the ten NASA installations. This role was assumed by the NSSC in October 2006.

d. SBIR/STTR Field Center Program Managers (FCPM). Each Field Center designates a FCPM. The role of the FCPM is to manage and administer the SBIR/STTR programs at a Center. This includes serving as the primary Center advocate for the programs, and coordinating the center SBIR/STTR activities with the public, the PMO, and the Mission Directorates.

e. Mission Directorate Representative (MDR). Each Mission Directorate designates a lead individual, or MDR, to represent the Mission Directorate relative to all SBIR and STTR issues. The MDR's primary role is to assure timely, coordinated Mission Directorate responses in support of SBIR/STTR solicitation activities, and to provide oversight guidance to assure that inputs and recommendations to solicitations reflect Mission Directorate priority technology needs. The MDRs are encouraged to work closely with the FCPMs as well as technology specialists at the Centers.

f. SBIR/STTR Topic Managers – The MDRs, in conjunction with FCPMs, may designate SBIR/STTR Topic Managers. The role of the Topic Manager is to work in coordination with the Mission Directorate Program and Project Offices to ensure that Topics focus support and enhance technology needs. In addition, the Topic Manager provides oversight and management of inter-center high priority research topics, and coordination at subtopic levels.

g. SBIR/STTR Subtopic Managers - FCPMs, MDRs, and Topic Managers together identify Subtopic Managers to support and manage the subtopics at each field center. The role of the Subtopic Manager is to submit and manage high priority research subtopics. The Subtopic Manager should also act as the champion for his/her subtopic both at the Center(s) and within their respective Mission Directorate(s).

NASA Responsibilities

a. The SBIR/STTR Program Executive is responsible for the following:

1) Developing and approving NASA policies, strategic plans, and assessment procedures for the SBIR and STTR programs;
2) serving as the primary interface with other NASA HQ offices for policy, planning, and evaluation;
3) obtaining Code G concurrence on procedures or process changes;
4) responding to Administrator, Congressional, White House and other inquiries;
5) serving as the primary interface with other agencies and the SBA, including understanding their policies and planning for possible NASA actions, including assessment, reporting, and analysis;
6) approving SBIR/STTR program budgets;
7) approving all solicitations, reviewing source selection processes, evaluation criteria and guidance, and policy implementation for compliance with controlling regulations
8) making all SBIR/STTR Award selections.

b. The SBIR/STTR Program Manager is responsible for the following:

1) Serving as primary interface with FCPMs for program execution and management;
2) executing and managing the SBIR/ STTR programs including solicitations, reviews and selection process of Phase 1 and Phase 2;
3) implementing improvements in the SBIR/STTR processes;
4) providing peer review of the SBIR /STTR processes;
5) managing the SBIR/STTR support contract;
6) collecting and maintaining database and external and internal program metrics;
7) providing outreach and marketing activities;
8) allocating the SBIR/STTR budget;
9) administering program policy compliance;
10) developing the SBIR/ STTR program schedules;
11) developing and maintaining the SBIR/STTR homepage; and
12) developing and maintaining the SBIR/STTR EHBs.

c. The SBIR/STTR Procurement Policy Manager is responsible for the following:

1) Establishing SBIR/STTR procurement policy and guidance for NASA;
2) communicating procurement policy and changes to centers;
3) maintaining contacts with industry on matters of policy & procurement;
4) constructing model contracts and establishing electronic procurement systems; and
5) applying knowledge of procurement legislation to the SBIR/STTR programs.
6) NSSC will serve as the NASA Procurement Policy Manager (PPM) for all SBIR/STTR contract issues starting October 2006.

d. FCPMs are responsible for the following:

1) Serving as the primary point of contact for the SBIR/STTR programs at their Center;

2) serving as the primary management source for the Center's SBIR/STTR programs; including facilitating Mission Directorate ranking lists;
3) serving as primary advocate for SBIR/STTR programs at their Center;
4) coordinating and advocating Phase 3 activities; and
5) Implementing and distributing program policies.

e. The MDRs are responsible for the following:

1) Interfacing with Mission Directorate management regarding the Topics and Subtopics to be incorporated in the SBIR/STTR solicitations, ensuring that both near term and far term interests of the Mission Directorate and Agency are met;
2) coordinating Agency strategic planning outcomes with the Topic/Subtopic development activities;
3) coordinating with FCPMs regarding the development of topics and subtopics for inclusion into solicitations;
4) providing interface with Mission Directorate core technology development organizations;
5) participating in the field center proposal ranking process;
6) coordinating with FCPMs, Topic Managers and Subtopic Managers to facilitate Phase 3 implementation through advocating Phase 2 products; and
7) supporting the transition of SBIR/STTR-developed technology to targeted mission programs.

f. SBIR/STTR Topic Managers are responsible for the following:

1) Providing technology topic descriptions for solicitations;
2) supporting identification and coordination of subtopics and subtopic managers for their topic;
3) serving as internal advocate to program offices;
4) supporting ranking process for all proposals in their topic; and
5) supporting technology infusion planning for resulting Phase 2 contracts.

g. SBIR/STTR Subtopic Managers are responsible for the following:

1) Providing subtopic descriptions for solicitations;
2) coordinating participating Center involvement in the subtopic;
3) coordinating the evaluation and ranking of all proposals in their subtopic;
4) supporting ranking process for all proposals in their subtopic; and
5) supporting technology infusion planning for resulting Phase 2 contracts.

4.2 NSSC Responsibilities

NSSC will assume general administrative duties for SBIR/STTR Contracts as awarded. The administrative duties shall include, but not be limited to, receive, reconcile, record, process, input, maintain and retain all documents necessary to properly detail and administer the official contract file from pre-award through final report.

4.2.1. NSSC Contractor Service Provider (SP)

- Support the study and analysis of the SBIR/STTR processes;
- provide administrative support to the EHBs;
- conduct SBIR/STTR Fact Finding & Analysis;
- support SBIR/STTR Phase 2 debriefings;
- SBIR/STTR Contract Compliance and Fund Monitoring;
- contract/order preparation and documentation.

4.2.2. NSSC Civil Servants (CS)

- Supervise and monitor activities for SBIR/STTR Procurements;
- Administer policy changes and updates and liaise with SBIR/STTR program officials, NASA Centers, SBIR/STTR Field Offices, and other as required;
- Review and award SBIR/STTR Contracts;
- Serve as the NSSC CS Personnel is the NASA SBIR/STTR Procurement Policy Manager (PPM).

NSSC will establish internal procedures that will govern SBIR/STTR actions by NSSC.

4.3 PMO Responsibilities

The Program Management Office (PMO) will continue to serve as NASA's lead office for all issues associated with the SBIR/STTR programs.

The PMO will continue to provide and maintain the EHBs.

The PMO will continue to develop SBIR/STTR solicitations and manage the solicitation process for Phase 1 and Phase 2 SBIR/STTRs.

The PMO will retain proposal receipt and in-processing responsibilities for SBIR/STTRs.

The PMO will oversee the proposal evaluation processes.

The PMO will work with the Source Selection Official in the selection of awardees of SBIR/STTR Contracts and provide appropriate notifications.

4.4 Center Responsibilities

Each Center will retain existing SBIR/STTR Contracts Administration through close-out. That is, no active SBIR/STTR Contracts will be transferred to NSSC.

Each Center will award and administer Phase 2 SBIR/STTR Contracts resulting from existing Phase 1 SBIR/STTR Contracts previously awarded by that Center.

Each Center will retain the responsibility for awarding and administering Phase 3 SBIR/STTR Contracts.

Each Center will retain program/project, budgeting, safety, property, costing and resources responsibilities including writing Purchase Requests associated with all SBIR/STTR Contracts

Each Center will retain invoice processing and account payables functions until transition to NSSC.

5.0 CHECKLISTS

Checklists to facilitate processing SBIR/STTR transactions have been developed. The checklists detail requirements, methods and actions necessary to perform the work in compliance with NASA's SBIR/STTR programs. The checklists cover various subjects including proper file documentation, contract provision usage, EHB requirements and contract administration activities of the EHBs, and other actions.

6.0 QUICK REFERENCE GUIDE

NSSC will produce and post to the respective NSSC's web sites a QRG. The QRG will include contact and other information in a brief and easy to use format. The purpose of the QRG is to provide a document that will contain general information on the NSSC and the transition of NASA's SBIR/STTR program to NSSC. The QRG will be intended for the NASA Centers and NSSC internal Users. The development of future QRG topics will be determined as the need arises.

7.0 TECHNICAL

NSSC Procurement Services (Service Provider) and Contracting Officers recognize the importance of communicating and coordinating with Technical Representatives to achieve SBIR/STTR program goals. When awards are announced and NSSC accesses proposal files through the EHB, NSSC Procurement will request Field Center Program Offices to recommend Contracting Officer Technical Representatives (COTRs) and COTR-Alternate candidates and enter that data into the EHB. After award, SBIRs will be administered by NSSC Service Provider processing group. Contract deliverables and due dates will be entered in the EHB as well as NSSCs work tracking application, Remedy. This group will alert awardees and COTRs of approaching due dates. When deliverables are received, NSSC Procurement Services will seek COTR approval.

8.0 CUSTOMER CONTACT CENTER

The NSSC CCC will be a primary point of contact for its SBIR/STTR customers. Inquiries received by the CCC are designated Level One (L1), Two (L2), or Three (L3). Each contact received by the CCC will initially be assigned as a Level "One" case. The CCC will open a REMEDY ticket for all inquiries and undertake necessary actions to provide an answer to the inquiry. Any question that cannot be resolved by the CCC shall be routed to Level Two which is the Procurement Office SP. Level Three inquires include all those requiring a response from the Contracting Officer (CS). Inquires regarding specific SBIR or STTR Agreements will be routed to the Level Two or Level Three contact assigned to that specific contract. More information on responsibility for the inquiry response will be included in the SBIR/STTR SDG.

The NSSC CCC can be reached by telephone, facsimile or electronic mail as provided below:

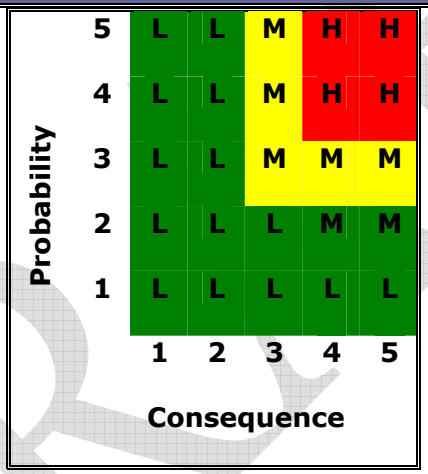
Email: nssc-contactCenter@nasa.gov
Fax: 1-866-779-6772
Telephone: 1-877-NSSC123 (or 1-877-677-2123)

NSSC Procurement will provide to the CCC a listing of civil service and service provider procurement personnel identifying the activities for which each person is responsible. NSSC Procurement will furnish the CCC a list of URL's, web sites, other pertinent information and Frequently Asked Questions to assist in responding to Level One customer inquiries. Further, NSSC Procurement has designated facilitators and back-up personnel to coordinate with the CCC to ensure the on-going flow of communications between the NSSC Procurement and the CCC.

9.0 RISKS

Description of Risk	Probability	Consequence	Risk	Mitigation Strategy
Disclosure of proprietary data	1	4	L	All employees have been trained and have signed non-disclosure statements
Non-receipt of PR from the center	3	3	M	Aggressive follow-up with PMO and Center Financial Offices

Risk



Consequence:

1. Minimal or no impact.
2. Acceptable impact with no change in approach.
3. Acceptable impacts with work around.
4. Major impacts in technical, cost, or schedule.
5. Total Work Stoppage.

Probability:

1. Very Low
2. Low
3. Medium
4. High
5. Very High

APPENDIX A – ACRONYMS AND ABBREVIATIONS

ARC	Ames Research Center
CCC	Customer Contact Center
CMM	Contract Management Module
CS	Civil Servant
DFRC	Dryden Flight Research Center
DMO	Document Management Office
EHBs	Electronic Handbooks
FAR	Federal Acquisition Regulations
FCPM	Field Center Procurement Manager
GRC	Glenn Research Center
GSFC	Goddard Space Flight Center
JPL	Jet Propulsion Laboratory
JSC	Johnson Space Center
KSC	Kennedy Space Center
LaRC	Langley Research Center
MDR	Mission Directorate Representative
MSFC	Marshall Space Flight Center
NFS	NASA Far Supplement
NSSC	NASA Shared Service Center
PMO	Program Management Office
PPM	Procurement Policy Manager
QRG	Quick Reference Guide
SBIR	Small Business Innovation Research

SDG	Service Delivery Guide
SP	Service Provider
SSC	Stennis Space Center
STTR	Small Business Technology Transfer

APPENDIX B – RELEVENT POINTS OF CONTACT

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APPENDIX C – SERVICE PROVIDER'S TRAINING CURRICULUM

1.	NASA	SBIR/STTR Program Overview
2.	BCF103	Fundamentals of Business Financial Management
3.	CLC004	Market Research
4.	CLC005	Simplified Acquisition Procedure
5.	CLC014	Acquisition of Services
6.	CLC015	Commercial Acquisition
7.	CON110	Mission Support Planning
8.	CON111	Mission Strategy Execution
9.	CON112	Mission Performance Assessment
10.	ECP-001-01	Export Control Awareness
11.	ETH-001-06	Ethic Training for NASA employees
12.	FM-001-04	Understanding Full Cost
13.	ITS-003-05	Basic IT Security for 2006
14.	JSC-001-03	Property Responsibility and Accountability
15.	KSC-003-03	Export Control Program Basic
16.	NTTC-001-03	Protection of Intellectual Property
17.	NTTC-001-04	New Technology Reporting
18.	REMEDY	Remedy Work Tracking Tool Training
19.	CMM	Contract Management Module Training
20.	EHBs	Electronic Handbooks Training

APPENDIX D – COMMUNICATION PLAN

Communication Objectives

The following communication objectives have been identified for the transition of SBIR/STTR Wave 2:

- Communicate with all affected stakeholders
- Compose and distribute consistent, clear, concise, audience-specific messages
- Employ effective and appropriate communication vehicles: environment and audience analysis are crucial in identifying communications efforts
- Set appropriate expectations
- Provide frequent and unbiased status of project progress
- Communicate to stakeholders what they need to know, *before* they need to know it
- Provide ample time for stakeholders to become effectively involved
- Meet frequently and regularly with project managers on developments and tactical concerns
- Offer opportunities for private communication as appropriate
- Hold project-wide meetings at important milestones
- Gather and provide after-action feedback to track and resolve issues quickly
- Timely communicate results of after-action resolutions

Communication Strategy

The NSSC Communication Strategy for the SBIR/STTR activity transition includes: face-to-face meetings, teleconferences, a Quick Reference Guide, an information-specific website, a Transition Plan, and an Operational Readiness Review.

The NSSC Civil Servant and Contractor Procurement Managers are drafting and approving processes and policies which ensure decisions are made with input from all affected parties in relation to the SBIR/STTR Wave 2 activity transition. Weekly meetings are held between the SBIR/STTR Transition Team and the SBIR/STTR Program Management Office. Processes and procedures are presented and approved by NSSC Civil Servant and Contractor Management.

All relevant activity transition information will be distributed to our stakeholders, customers, and NASA Centers to maintain clear and consistent communication channels.

Key Messages that should be reiterated constantly/consistently

Strategic Core Messages Developed Prior to Activity Transitions

Why the Agency Implemented the NSSC

- Supports meeting NASA strategic business and mission efforts with limited resources
  - There are greater demands to utilize resources (people, time, dollars) to best support our core mission.
- Improves overall quality and service
  - Improving both the efficiency and effectiveness of transactional support activities will provide for consistent, high quality, easily accessible, timely services delivered in a customer focused fashion.
- Supports One NASA
  - Consolidation supports the Agency's focus of operating as one team that better leverages its skills and resources.

Tactical Core Messages – Key Messages Developed for Activity Transitions

The Value of the NSSC to Our Customers

- Redirects scarce Agency resources to critical missions
  - By consolidating and standardizing business processes the NSSC can achieve economies of scale, eliminate duplication of support functions, and allow Centers to concentrate on core activities.
- Accessibility
  - The NSSC is accessible through a self-service portal and the Customer Contact Center, which is open 12 hours per day, 5 days a week.
- Increased Customer Service
  - The NSSC will improve the efficiency and effectiveness of transactional support, which will provide for customer focused, consistent, high quality, and timely services.
- The NSSC is coordinating efforts Agency-wide to make transitions as seamless as possible for NASA employees.
- The NSSC will provide Centers with improved data quality and reporting capabilities by streamlining data collection processes.

Target Audiences				
Internal to NSSC			**External to NSSC**	
• NSSC Civil Servants PR • NSSC Contractors PR • NSSC Liaisons • Customer Contact Center			• NASA Program Management Office • Agency-wide (NASA Employees) • Vendors • Center Procurement Offices	
Audience	**Message/Objective**	**Method/Channel**	**Timing/Frequency**	**Target Dates**
PMO Center POC Procurement Managers	Moderate Change –Define processes and identify NSSC personnel	Face-to-Face meetings, email, VITs, telecoms	Weekly and as needed	Weekly
Center Finance Offices	Coordinate those tasks and associated procedures requiring interaction with NSSC	Face-to-Face, phone, email	As needed	N/A
Customer Contact Center	Provide information to assist employees with transition	Email, other necessary training	Training ongoing	TBA
NSSC Liaisons	Provide transition information and status for dissemination to NASA Centers	E-mail, Telecons, Face-to-Face meetings	As needed	N/A

APPENDIX E – PROJECT PLAN